

01/31/02

02-05-02

J1064 U.S. PTO

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL***(Only for new nonprovisional  
applications under 37 CFR 1.53(b))*

Title of Invention

Method and System for Calculating Risk in Association  
with a Security Audit of a Computer Network

Named Inventor(s)

Timothy David Dodd and Nicolas Heinrich

Attorney Docket

05456.105036

Express Mail Label No.

ET491030836US

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10/066461

01/31/02

**APPLICATION ELEMENTS**Commissioner for Patents  
**ADDRESS TO:** Box Patent Application  
Washington, D.C. 20231**ACCOMPANYING APPLICATION PARTS**

1. ☒ Fee Transmittal Form  
*(Submit an original, and a duplicate for fee processing)*
2. ☐ Applicant claims small entity status. See 37 CFR 1.27.
3. ☒ Specification, Claims,  
and Abstract Total Pages **25**
4. ☒ Drawings Total Sheets **11**
5. Oath or Declaration Total Pages **2**
  - a. ☒ 1 executed (original); 1 unexecuted
  - b. ☐ Copy from prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 17  
completed)*
    - (i) ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior  
application, see 37 CFR 1.63(d)(2)  
and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76.
7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program *(Appendix)*
8. Nucleotide and/or Amino Acid Sequence  
Submission *(if applicable, all necessary)*
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above  
copies

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement  
*(when there is an assignee)*
  - ☐ Power of Attorney by assignee
11. ☐ English Translation Document *(if applicable)*
12. ☐ Information Disclosure Statement (IDS)  
PTO-1449
  - ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
15. ☐ Certified Copy of Priority Document(s)
16. ☐ Assignee: \_\_\_\_\_
19. ☐ Other: \_\_\_\_\_

**17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No:  
Prior application information: Examiner: Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS:**Robert T. Neufeld, Esq.  
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**FEE TRANSMITTAL**

Attorney Docket No. 05456.105036

This sheet accompanies a patent application transmittal for the following application:

Inventor(s): Timothy David Dodd and Nicolas Heinrich

Filing Date: January 31, 2002

Title: Method and System for Calculating Risk in Association with a Security Audit of a Computer Network

The filing fee is calculated as shown below:

**1. FILING FEE:**

|  |  | SMALL ENTITY |          | LARGE ENTITY |          |
|--|--|--------------|----------|--------------|----------|
| FOR:   |  | FEE          | FEE PAID | FEE          | FEE PAID |
| <input checked="" type="checkbox"/> UTILITY FILING FEE |  | \$370        |          | \$740        | \$740    |
| <input type="checkbox"/> DESIGN FILING FEE             |  | \$165        |          | \$330        |          |
| <input type="checkbox"/> PLANT FILING FEE              |  | \$255        |          | \$510        |          |
| <input type="checkbox"/> REISSUE FILING FEE            |  | \$370        |          | \$740        |          |
| <input type="checkbox"/> PROVISIONAL FILING FEE        |  | \$80         |          | \$160        |          |
| SUBTOTAL (1)   |  |              | \$xxx    |              | \$740    |

**2. CLAIMS:**


|   |           |           | SMALL ENTITY |       | LARGE ENTITY |       |
|---|-----------|-----------|--------------|-------|--------------|-------|
| FOR:  | NO. FILED | NO. EXTRA | RATE         | FEE   | RATE         | FEE   |
| TOTAL CLAIMS  | 49 - 20 = | 29        | x 9 =        |       | x 18 =       | 522   |
| INDEP. CLAIMS   | 6 - 3 =   | 3         | x 42 =       |       | x 84 =       | 252   |
| <input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED |           |           | +140 =       |       | +280 =       |       |
| SUBTOTAL (2)  |           |           |              | \$xxx |              | \$774 |

**3. ADDITIONAL FEES:**

|  |  | SMALL ENTITY |          | LARGE ENTITY |          |
|--|--|--------------|----------|--------------|----------|
| FOR:   |  | FEE          | FEE PAID | FEE          | FEE PAID |
| <input type="checkbox"/> LATE FILING, FEE OR OATH  |  | \$65         |          | \$130        |          |
| <input type="checkbox"/> NON-ENGLISH SPECIFICATION |  | \$130        |          | \$130        |          |
| <input type="checkbox"/> OTHER                     |  |              |          |              |          |
| SUBTOTAL (3)                                       |  |              | \$xxx    |              | \$xxx    |

**TOTAL FILING FEES: \$1514**A check is enclosed for the total amount: **\$1514**☒ Charge any additional fees required under 37 C.F.R. 1.16 or 1.17 to Deposit Account 11-0980.

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By:   
 Robert T. Neufeld, Attorney for Applicant  
 Reg. No. 48,394

Date: January 31, 2002